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FORM PTO-1449 U.S. DEPARTMENT OF COMMERCE  
(MODIFIED) PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
53087-5003SERIAL NO.  
09/842,268

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INFORMATION DISCLOSURE  
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(37 C.F.R. § 1.98(b))

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April 25, 2001

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## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL |   | PATENT NUMBER |   |   |   |   |   |   | ISSUE<br>DATE | PATENTEE        | CLASS | SUBCLASS | FILING DATE IF<br>APPROPRIATE |
|---------------------|---|---------------|---|---|---|---|---|---|---------------|-----------------|-------|----------|-------------------------------|
| P/P                 | A | 6             | 2 | 1 | 6 | 1 | 1 | 6 | 04/10/01      | Barkan, et al.  | 705   | 76       |                               |
|                     | B | 5             | 6 | 5 | 9 | 6 | 1 | 6 | 08/19/97      | Sudia           | 380   | 23       |                               |
|                     | C | 5             | 9 | 0 | 3 | 8 | 8 | 2 | 05/11/99      | Asay et al.     | 705   | 44       |                               |
|                     | D | 5             | 9 | 4 | 3 | 4 | 2 | 3 | 08/24/99      | Muftic          | 380   | 25       |                               |
|                     | E | 5             | 9 | 7 | 8 | 4 | 8 | 4 | 11/02/99      | Apperson et al. | 380   | 25       |                               |
|                     | F | 5             | 9 | 6 | 0 | 0 | 8 | 5 | 09/28/99      | De la Hueriga   | 380   | 25       |                               |
|                     | G | 6             | 0 | 0 | 3 | 0 | 1 | 4 | 12/14/99      | Lee et al.      | 705   | 13       |                               |
|                     | H | 5             | 9 | 0 | 1 | 2 | 8 | 4 | 05/04/99      | Hamdy-Swink     | 395   | 186      |                               |
|                     | I | 5             | 8 | 7 | 2 | 8 | 4 | 8 | 02/16/99      | Romney et al.   | 380   | 25       |                               |
|                     | J | 5             | 7 | 8 | 4 | 4 | 6 | 3 | 07/21/98      | Chen et al.     | 380   | 21       |                               |
| BB                  | K | 5             | 7 | 6 | 1 | 3 | 0 | 9 | 06/02/98      | Ohashi et al.   | 380   | 25       |                               |

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|--|--|-----------------|--|--|--|--|--|--|---------------------|-----------------------------|-------|----------|-------------|----|
|  |  |                 |  |  |  |  |  |  |                     |                             |       |          | YES         | NO |
|  |  |                 |  |  |  |  |  |  |                     |                             |       |          |             |    |
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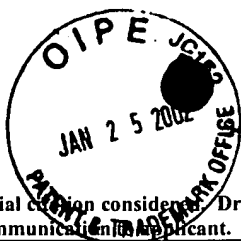
## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

|    |   |   |
|----|---|---|
| BB | L | Blaze, et al., "THE KEYNOTE TRUST-MANAGEMENT SYSTEM VERSION 2", Internet Society, September 1999, pp. 1-32.                         |
|    |   |   |
| 1  | M | Gunter, et al, "POLICY-DIRECTED CERTIFICATE RETRIEVAL", Software-Practice & Experience, September 21, 2000, Vol. 30, pp. 1609-1640. |
|    |   |   |
| BB | N | Gunter, et al., "GENERALIZED CERTIFICATE REVOCATION", ACM Symposium On Principles Of Programming Languages, January 2000, pp. 1-14. |
|    |   |   |

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|---------------------|---|---------------|---|---|---|---|---|---|---------------|----------------|-------|----------|-------------------------------|
| <i>AB</i>           | O | 5             | 7 | 5 | 7 | 9 | 2 | 0 | 05/26/98      | Misra et al.   | 380   | 25       |                               |
|                     | P | 5             | 7 | 5 | 4 | 6 | 5 | 4 | 05/19/98      | Hiroya et al.  | 380   | 24       |                               |
|                     | Q | 5             | 6 | 9 | 4 | 4 | 7 | 1 | 12/02/97      | Chen et al.    | 380   | 25       |                               |
|                     | R | 5             | 4 | 1 | 2 | 7 | 1 | 7 | 05/02/95      | Fischer        | 380   | 4        |                               |
|                     | S | 5             | 3 | 3 | 9 | 4 | 0 | 3 | 08/16/94      | Parker         | 395   | 425      |                               |
|                     | T | 5             | 2 | 6 | 1 | 0 | 0 | 2 | 11/09/93      | Perlman et al. | 380   | 30       |                               |
|                     | U | 5             | 3 | 1 | 5 | 6 | 5 | 7 | 05/24/94      | Abadi et al.   | 380   | 25       |                               |
|                     | V | 5             | 2 | 1 | 4 | 7 | 0 | 2 | 05/25/93      | Fischer        | 380   | 30       |                               |
|                     | W | 4             | 8 | 6 | 8 | 8 | 7 | 7 | 09/19/89      | Fischer        | 380   | 25       |                               |
|                     | X | 4             | 8 | 1 | 6 | 6 | 5 | 5 | 03/28/89      | Musyck et al.  | 235   | 380      |                               |
| <i>AB</i>           | Y | 5             | 6 | 1 | 5 | 2 | 6 | 8 | 03/25/97      | Bisbee et al.  | 380   | 25       |                               |

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|  |  |                 |  |  |  |  |  |  |                     |                             |       |          | YES         | NO |
|  |  |                 |  |  |  |  |  |  |                     |                             |       |          |             |    |
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|  |  |                 |  |  |  |  |  |  |                     |                             |       |          |             |    |

## OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

|           |    |  |
|-----------|----|--|
| <i>AB</i> | Z  | Kakkar, et al., "CERTIFICATE DISTRIBUTION WITH LOCAL AUTONOMY", International Workshop on Active Networks, October 2000, pp. 1-19. |
|           | AA | Blaze, et al., "DECENTRALIZED TRUST MANAGEMENT", Proc. IEEE Conference on Security and Privacy, May 1996, pp. 1-23                 |
| <i>AB</i> | BB | Herzberg, et al., "ACCESS CONTROL MEETS PUBLIC KEY INFRASTRUCTURE, OR: ASSIGNING ROLES TO STRANGERS", pp. 1-13.                    |

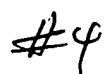
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|--------------------|---|---------------|---|---|---|---|---|---|---------------|-------------------|-------|----------|-------------------------------|
| <i>DB</i>          | A | 6             | 2 | 1 | 2 | 6 | 3 | 4 | 04/03/01      | Greer, Jr et al   |       |          |                               |
|                    | B | 5             | 5 | 3 | 0 | 2 | 3 | 5 | 06/25/96      | Stefik et al.     |       |          |                               |
|                    | C | 6             | 4 | 4 | 6 | 2 | 5 | 3 | 09/03/02      | Mellmer           |       |          |                               |
|                    | D | 5             | 5 | 8 | 3 | 9 | 9 | 3 | 12/10/96      | Foster et al.     |       |          |                               |
|                    | E | 6             | 3 | 9 | 3 | 5 | 6 | 5 | 05/21/02      | Lockhart et al.   |       |          |                               |
|                    | F | 6             | 4 | 3 | 8 | 6 | 0 | 0 | 08/20/02      | Greenfield et al. |       |          |                               |
|                    | G | 5             | 5 | 7 | 7 | 1 | 2 | 0 | 11/19/96      | Penzias           |       |          |                               |
|                    | H | 5             | 2 | 2 | 0 | 6 | 0 | 4 | 06/15/93      | Gasser et al.     |       |          |                               |
|                    | I | 6             | 2 | 8 | 2 | 1 | 8 | 3 | 08/28/01      | Harris et al.     |       |          |                               |
|                    | J | 0             | 0 | 0 | 7 | 3 | 1 | 7 | 01/17/02      | Callagahn et al.  |       |          |                               |
| <i>DB</i>          | K | 0             | 1 | 2 | 8 | 9 | 0 | 3 | 09/12/02      | Kernahan          |       |          |                               |
|                    | L | 0             | 0 | 3 | 2 | 6 | 2 | 6 | 03/14/02      | DeWolf et al.     |       |          |                               |

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|  |  |                 |  |  |  |  |  |  |                      |                             |       |          | YES         | NO |
|  |  |                 |  |  |  |  |  |  |                      |                             |       |          |             |    |
|  |  |                 |  |  |  |  |  |  |                      |                             |       |          |             |    |
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### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

|           |   |   |
|-----------|---|---|
| <i>DB</i> | M | Tuomas Aura, "Distributed Access-Rights Management With Delegation Certificates", Secure Internet Programming (LNCS), 1999 Springer-Verlag, pp. 1-25. |
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| Examiner Signature | <i>Donald B. Bunn</i> | Date Considered | <i>6/28/04</i> |
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